

<b>Interview Summary</b>	<b>Application No.</b> 09/694,090	<b>Applicant(s)</b> GUYOT-SIONNEST ET AL.
	<b>Examiner</b> Nikolas J. Uhlir	<b>Art Unit</b> 1773

All participants (applicant, applicant's representative, PTO personnel):

- (1) Nikolas J. Uhlir. (3) \_\_\_\_\_.  
 (2) Jon Taylor. (4) \_\_\_\_\_.

Date of Interview: 08 July 2003.

Type: a) Telephonic b) Video Conference  
 c) Personal [copy given to: 1) applicant 2) applicant's representative]

Exhibit shown or demonstration conducted: d) Yes e) No.  
 If Yes, brief description: \_\_\_\_\_.

Claim(s) discussed: all pending.

Identification of prior art discussed: all cited.

Agreement with respect to the claims f) was reached. g) was not reached. h) N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: See Continuation Sheet.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

\_\_\_\_\_  
 Examiner's signature, if required

## Summary of Record of Interview Requirements

### **Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record**

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

### **Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews**

#### **Paragraph (b)**

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

#### **37 CFR §1.2 Business to be transacted in writing.**

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

#### **Examiner to Check for Accuracy**

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

Continuation of Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: The examiner and the applicant discussed various issues present in the case that have arisen as a result of the applicants amendment dated 5/09/03 to insert the limitation "at room temperature and in the absence of an applied electric potential" into the independent claims. It is unclear to the examiner that the applicant had support in the specification for the limitation "in the absence of an applied electric potential. The examiner and the applicant both carefully examined the specification, a discussed whether example 1 of the instant specification provides implicit support for this limitation, as it recites a method for doping CdS, CdSe, and ZnO semiconductor nanocrystals via the electron charge transfer method, wherein the applicant on page 6 of the specification discloses that the nanocrystals can be doped chemically by using a reducing agent, or doping by light induced electron transfer. It is not clear from the specification whether this light induced electron transfer would generate enough electron transfer as to be considered as the application of an applied electric potential, thus, no implicit support for the limitation "in the absence of an applied electric potential" appears to be present. With respect to the room temperature requirement, example 1 discusses figure 3 of the instant application, wherein the IR properties of doped semiconductor nanocrystals formed by the electron transfer method are measured at room temperature. Thus, it appears that the applicants example provides support for the limitation "at room temperature." The applicant's representative was informed that if implicit support for the limitation "in the absence of an applied electric potential is present in the case, explicit support must be placed in the specification, as any negative limitation must have explicit support as required by the MPEP.

The applicant's representative and the examiner then discussed whether the applicant's specification was enabling for all semiconductor nanocrystals, or simply CdSe, CdS, and ZnO. From figure 3, it is the examiner contention that the applicants specification only provides enablement for semiconductor nanocrystals that are doped at room temperature and in the absence of an applied electric potential when those semiconductors are CdS, CdSe, or ZnO respectfully. This is in light of the insert in claim 3, wherein the applicants elucidate the time in which the semiconductor nanocrystals remain doped at room temperature in the absence of an applied electric potential. It is clearly shown that the length of time that these nanocrystals are doped is dependent on the material. Thus, some doubt is raised as whether every semiconductor nanocrystal is capable of exhibiting a quantum confined doped state at room temperature and in the absence of an applied electric potential. Further, questions arose as to whether these crystals "remain" in a quantum confined state, as it seems clear from figure 3 that the crystals return to an undoped state over time. The applicant's representative agreed that this issue was present and informed the examiner that they would take a close look at the specification and contact the examiner at a later date to discuss this issue.

No definitive agreement as to patentability was reached during this interview.